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REVIEW OF SECTORAL CLUSTERS, SECOND PHASE: LAND, DESERTIFICATION, FORESTS AND BIODIVERSITY

Letter dated 26 January 1995 from the Permanent Representative of Canada to the United Nations addressed to the Secretary-General

On behalf of the Permanent Missions of Canada and Malaysia to the United Nations, I have the honour to transmit to you the report of the second meeting of the Intergovernmental Working Group on Global Forests (see annex), which was held in Ottawa/Hull, Canada from 10 to 14 October 1994. The meeting was jointly organized and sponsored by the Governments of Canada and Malaysia.

The objective of the initiative undertaken by Canada and Malaysia is to facilitate dialogue and consolidate approaches to the management, conservation and sustainable development of the world's forests, leading to the review of forest-related issues by the Commission on Sustainable Development at its third session, in 1995.

I would be grateful if you could make arrangements to circulate the attached report as an official document of the Commission on Sustainable Development at its third session.

(Signed) Robert R. FOWLER
Ambassador
Permanent Representative

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Annex

REPORT OF THE SECOND MEETING OF THE INTERGOVERNMENTAL WORKING GROUP ON FORESTS, HELD AT OTTAWA/HULL, CANADA FROM 10 TO 14 OCTOBER 1994*

* The annex is circulated in the languages of submission only.

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REPORT OF THE SECOND MEETING OF THE INTERGOVERNMENTAL WORKING GROUP ON FORESTS, HULL, CANADA 10 - 14 OCTOBER 1994

Summary

The Second Meeting of the Intergovernmental Working Group on Forests (IWGF) was convened in Hull, Canada from 10-14 October 1994. This followed the First Meeting of the IWGF in Kuala Lumpur, Malaysia from 18 - 21 April 1994, and the presentation of the report of the Meeting under cover of document E/CN.17/1994/18 dated 12 May 1994 before the Second Session of the United Nations Commission on Sustainable Development (UNCSD) held on 16-27 May 1994.

2. Participation in the Second Meeting of the IWGF was expanded to cover technical and policy experts from 32 countries, 5 intergovernmental organizations and 11 non-governmental organizations, as listed in Annex 1.

3. The stated objective of the IWGF is to facilitate dialogue and consolidation of approaches to the management, conservation and sustainable development of all types of forests leading to the review of forest issues by the UNCSD at its Third Session in April 1995. The IWGF is not a negotiating forum. It brings forward a range of options, opportunities and approaches, in respect of some of the salient issues on forests for the consideration of the UNCSD at its 1995 Session, including the UNCSD Intersessional Working Group on Sectoral Issues and the FAO Ministerial Meeting on Forests in March, 1995.

4. From the multiplicity of issues relating to forests, the IWGF considered at its First Meeting in Kuala Lumpur five key issues, namely:

(a) Forest Conservation, Enhancing Forest Cover and the Role of Forests in Meeting Basic Human Needs;

(b) Criteria and Indicators for Sustainable Forest Management;

(c) Trade and Environment;

(d) Approaches to Mobilizing Financial Resources and Technology Transfer; and

(e) Institutional Linkages.

Subsequently, two additional issues were identified for consideration namely:

(f) Participation and Transparency in Forest Management; and

(g) Comprehensive Cross-sectoral Integration Including Land Use Planning and Management and the Influence of Policies External to the Traditional Forest Sector.

These issues feature prominently in the UNCED Forest Principles and Chapter 11 of Agenda 21. Background papers on each of the issues were developed to facilitate discussion. These papers have been widely circulated and are available on request.

5. Further deliberation of these issues was undertaken during the course of the Second Meeting of the IWGF, resulting in the generation of a series of synthesis papers, one for each issue considered. Each synthesis contains a section which crystallizes the key points raised during the Meeting and includes a set of suggested options, approaches and opportunities specific to each topic. These syntheses together with this summary make up the Report of the Second IWGF Meeting.

6. This Report is a product of a collective effort made at the Meeting, which takes into account the wide range of sometimes differing views expressed on many of the complex forest issues discussed and does not necessarily reflect a consensus among participants.

7. The co-sponsors of the IWGF were requested to present this report in the hope that it will be a valuable contribution to the ongoing international dialogue on forests.

8. The participants to IWGF expressed their gratitude to the governments of Canada and Malaysia for having competently organized this constructive and positive meeting. The participants are grateful to the government and people of Canada for their warm hospitality.

SYNTHESIS A

THE MANAGEMENT, CONSERVATION, SUSTAINABLE DEVELOPMENT AND ENHANCEMENT OF ALL TYPES OF FORESTS TO MEET HUMAN NEEDS

The issue

"To increase the potential of all types of forests to meet present and future socio-economic and environmental needs."

Three fields are identified for action: (1) the sustainable development and management of forests to provide the many resources, goods and services needed by people; (2) the protection and management of natural forests to conserve biological diversity; and (3) the restoration of degraded forests and establishment of new tree cover. These should be considered as a whole, recognising that there are significant linkages with other aspects of domestic and international policy considered by the IWGF.

The sustainable development and management of forests for multiple benefits:

Well managed forests are a renewable resource which should be able to provide goods and services to the many elements of a nation's present and future generations. At one end of the spectrum they supply a wide range of benefits to local communities including indigenous people; at the other they provide the resource base for national socio-economic development[1]. Essential to the concept of sustainable forest development is the maintenance of diverse forest ecosystems which meet human needs while retaining their biological diversity. Good management following this principle involves the balanced provision of all resources, goods and services (including timber, fuel wood, non-wood forest products, genetic resources and the protection of water catchments and infrastructure) while retaining the biological, social and cultural values of the forest.

The protection and management of forests to conserve biodiversity

Particular action is needed in the field of natural forest conservation to conserve biodiversity. This can best be ensured by the combination of a well-planned network of protected areas with areas of forest which are well managed for other purposes. An important contribution is also made by forests sustainably managed by local communities for multiple uses and values. The implementation of forest conservation will be at a local and national level but planning should take account, as appropriate, of regional or even global perspectives. Measures should be harmonised with the implementation of the Convention on Biological Diversity.

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1 Long-standing forest biomass also makes an important contribution to carbon storage

The enhancement of forest and tree cover

There is already serious concern about decline in the quantity and quality of forests. Yet, as populations increase and needs and expectations grow, even more demands will be made upon forest (and trees outside the forest) which can only be satisfied by increasing quantity and improving quality[2]. The balance between the resource and the demands made upon it differ from country to country and even within a single country. These will change as economic and social development progresses. Each country should take whatever measures are needed to enhance its resource of forests and trees and should set its own targets for forest area and for improvement of quality[3]. This may best be done by the formulation and implementation of national forestry action programmes and/or plans (NFAP), prepared in the context of integrated land use planning. There are clear linkages with possible actions under the Convention on Combatting Desertification and the Framework Convention on Climate Change.

Other elements

Other elements are:

- the need for a number of studies of:
- the ways in which forest conservation is affected by measures taken for the rehabilitation of degraded lands and greater agricultural productivity;
- the adequacy of the information and knowledge base for forest management and conservation and how it might be improved[4];
- the global forest cover needed in the future to provide for all the productive, protective and environmental functions of forest;
- the implications of, and opportunities provided by, the Framework Convention on Climate Change and the Conventions on Biological Diversity and on Combatting Desertification for the management, conservation and sustainable development of forests — how much, where and priorities;
- opportunities for value-added downstream processing, and the related research;
- possible methodologies to integrate environmental costs and benefits into markets;
- the importance of taking account, in each instance, of the fundamental causes of forest loss and deterioration;
- the need to base action upon the specific ecological, cultural and socio-economic conditions of the locality, and to involve local people throughout;

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2 Measures might include the enhancement of natural forest cover by protection or improved management of natural forest, intensive plantations ("tree farms") on degraded land, agroforestry etc. Plantations can make some contribution to biological diversity but should not be expected to contribute as much as natural forests.

3 Most participants did not favour the setting of general targets for area.

4 This should include methods for the assessment and comparison of the many different forest values.

- the importance of incentives — involvement of local communities, the private sector etc.;
- giving an appropriate return to local communities, including indigenous people, for the use of their knowledge of the special properties of plants and animals, for example, by recognising intellectual property rights;
- the importance of reliable and widely disseminated information on forest resources, biological diversity, effective management techniques etc.;
- the availability of resources and institutional capacity to support national action;
- international cooperation, and financial and technological support;
- the need for the price of forest products to reflect fully both their environmental costs and the costs of their replacement.

Options

The following were identified as options for early action by the CSD:

- encouraging an appropriate existing body to undertake the studies enumerated above;
- encouraging the NFAP process, including the definition of national targets and timetables for increasing forest area and improving forest quality;
- encouraging an appropriate existing international body to develop guidelines to assist countries to establish comprehensive national networks of forest areas conserved for biological diversity as contributions to an international network which would build upon the existing work of IUCN, UNESCO and others;
- promoting the establishment of national and global networks of forests managed for multiple use by communities and indigenous people for community survival;
- recognising of the value of a global network of Model Forest Sites and encouraging nations to build upon this initiative;
- mobilising international resources and cooperation in support of these networks;
- promoting high quality management and protection of forest resources by various incentives, including the pricing of forest products, and by encouraging further involvement of other stakeholders, such as local communities, the private sector and development banks;
- the promotion of the multiple roles and functions of forests.

SYNTHESIS B

THE CRITERIA AND INDICATORS FOR THE MANAGEMENT, CONSERVATION AND SUSTAINABLE DEVELOPMENT OF ALL TYPES OF FORESTS

The issue

The task to evaluate the progress of UNCED in relation to management, conservation and sustainable development of all types of forests falls to the CSD, the body responsible for evaluating the implementation of Agenda 21.

The need and the utility of internationally agreed criteria and indicators that demonstrate and characterize management, conservation, and sustainable development of all types of forests has been recognized in the Forest Principles, in Chapter 11 of Agenda 21 as well as in the Convention on Biological Diversity. New processes and initiatives have taken place to define the concept of sustainability and to promote sustainable forest management. These have been stimulated by the UNCED agreements by growing concern about possible global warming and forest degradation.

Ongoing processes

Three major international initiatives are underway, in addition to national and non-governmental ones, on formulation of criteria and indicators for sustainable forest management:

1. The ITTO Criteria and Indicators are designed to assess progress towards achieving sustainable tropical forest management within the framework of ITTO's Year 2000 Objective. The set of Criteria and Indicators evolved from principles of sustainable management contained in the various ITTO Guidelines, namely on natural tropical forests, on planted forests and on conservation of biological diversity. The use of the list is specific to each nation or each management unit when determining sustainability.

2. The six pan-European criteria and their "most suitable quantitative indicators" are designed for assessing information on how the signatory states have succeeded in implementing the European guidelines for sustainable forest management and conservation of biological diversity. These criteria and indicators are intended for evaluation at the national level. In addition, descriptive (qualitative) indicators are used in the follow-up of the Helsinki Ministerial Conference.

3. The Working Group on Criteria and Indicators for the Conservation and Sustainable Management of Temperate and Boreal Forests for non-European countries has been launched to advance the development of internationally agreed criteria and indicators.

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The criteria and indicators are intended to provide a common understanding of what is meant by sustainable forest management in the temperate and boreal region.

Concepts

In order to demonstrate sustainability, it is necessary to identify all the valuable features, which constitute the criteria. It is important to show changes over time for each criterion and to indicate how well each criterion reaches the objectives set for it.

A criterion describes the different sides of sustainability on a conceptual level. It is a distinguishing element or set of conditions or processes by which a forest characteristic or management is judged. Measurements are already available for some of the indicators; some others can easily be measured; yet some indicators require a new programme of systematic sampling or even basic research. The specific measurement of indicators should be judged on a scale of acceptable "standards of performance" which may vary from country to country, region to region and from time to time. Some aspects of the criteria can only be judged through the existence and effective implementation of a related policy framework.

Challenges ahead

The criteria and indicators are useful not only as a guide for government action, but also for the forestry sector, forest researchers and as a demonstration to consumers and the general public about the level of sustainability of the forest management. It is important that sustainability is understood in the same way by all parties.

The characterization of sustainable forest management is a challenging task from scientific as well as national and international policy perspectives. We should be aware that countries are at different stages in their development. Progress will be made step by step, as countries gradually work within their own policies and opportunities to define the concept and measure the implementation of sustainable forest management.

In general, indicators should be verifiable and quantifiable, but qualitative or descriptive indicators are also important. The issue of systematic observation and implementation requires substantial further work. Without the specification and commitment of resources to appropriate assessment systems, it will not be possible to evaluate whether forest management is moving towards or away from sustainability. Criteria and indicators will need to be reviewed and revised over time to reflect new research and improved understanding of forest management.

The issues of scale, transparency, participation and inter-linkage of all socio-economic, cultural and environmental aspects need to be considered. Forests, and the socio-economic systems that rely on forests could be evaluated at the local, national, regional or global levels. We should also recognize that different countries have different capacities to specify and apply criteria and indicators. Having sustainable development as an overall framework for

criteria for sustainable management of all types of forests, specific indicators for diverse economic, social, cultural and environmental conditions could be developed, taking into account the diversity of conditions of different regions and countries.

A holistic approach is needed so that all the stakeholders are involved in establishing criteria and indicators. Incentives have to be related to the maintenance of social, economic and cultural values for people who depend on the forests. When evaluating sustainability, the objectives include a whole variety of different components including not only marketable products, but also cultural diversity, and the health, well-being and effective participation of indigenous people and local communities who depend on the forest.

The establishment of internationally agreed, scientifically based criteria and indicators could help provide a basis for:

- systematic observation of the progress made towards management, conservation and sustainable development of all types of forests;

- promotion of international cooperation in management, conservation and sustainable development of all types of forests;

- clarifying ongoing dialogues on international trade in forest products from sustainable sources, including discussion on certification schemes; and

- common understanding of what is meant by the management, conservation and sustainable development of all types of forests world wide.

While national forest plans and policies will reflect national needs, the establishment of internationally agreed criteria and indicators may assist in the implementation of the objectives of the management, conservation and sustainable development of all types of forests.

Options

1. In order to build upon the ongoing initiatives and processes, the Meeting recalls the Indo-UK meeting's resolution for a continuation of the important work done in various processes, and signals an opportunity for all countries to work together in developing criteria and indicators and to initiate implementation of existing criteria.

2. CSD could pay attention to completion and implementation of ongoing work on criteria and indicators intended to be applied at the national level. In some cases, this will involve the development of specific measurement schemes appropriate to national conditions to address how data would be gathered, and efforts to harmonize national approaches to assessing and reporting on indicators.

3. CSD could take note of the major initiatives in the formulation of criteria and indicators, encourage the harmonization of the outcomes of the individual ongoing processes, and consider the establishment of a task force within the CSD framework to urgently progress toward the preparation of criteria and indicators for the management, conservation and sustainable development of all types of forests that could be considered for adoption at the global level.

4. The necessary data for assessment and evaluation of the national level criteria and indicators should be based on systematic observation and research. FAO, with the support of other international organizations and IUFRO should be asked to put particular effort on developing forest resources assessment in this regard. Assessments of economic as well as social and cultural values of forest should be taken into account.

5. Further research is encouraged on ways to measure indicators and to better predict the consequences of human impact on forest ecosystems. Individual countries could be encouraged to study how information is gathered and evaluated.

SYNTHESIS C

TRADE AND THE MANAGEMENT, CONSERVATION AND SUSTAINABLE DEVELOPMENT OF ALL TYPES OF FORESTS

Synopsis of Discussion

It was generally recognized that trade can improve a country's ability to promote management, conservation and sustainable development of all types of forests if it occurs in conjunction with policies that address the social, economic, cultural, and environmental roles of forests but that it could exacerbate environmental problems if it occurred in the absence of such policies. Some participants stressed that complementary and mutually supportive international trade liberalization and environment policies are helpful in promoting management, conservation and sustainable development of all types of forests, and that it is important that environmental issues not be used as a pretext for protectionism.

While a number of participants agreed with studies that concluded trade is not the primary cause of deforestation, certain governments are facing public and NGO pressure to take trade actions as a means of forcing the pace of change in forest policies in producer countries. The view was also expressed that there may be occasions when the judicious application of trade restrictions by individual nations or groups of nations can be a constructive tool in slowing or preventing irreversible environmental damage. However, many participants stressed that any restriction on trade works against the sustainable development of forests.

For a number of forest countries, forests are an important generator of resources for achieving national development goals. In this context, trade is fundamental to the management, conservation and sustainable development of all types of forests. However, trade is only one of several important reasons motivating the broadly-held desire to progress towards sustainable forest management. Other important concerns include social and economic issues, e.g. poverty, the livelihood of local forest communities, including indigenous people, the economic development of forest regions, conservation of forest ecosystems, and the economic and social benefits from the resources, goods and services of these regions.

While many participants expressed the opinion that sustainable forest management certification programs, in particular voluntary programs, could be a practical alternative to trade measures and a way of responding to consumer demands, a number of participants expressed concern about the growing number of such programs and the potential for public confusion. There was general support for transparent and open-ended processes, involving governments, to develop such programs and a preference either, for a multilaterally agreed scheme or a multilateral process to harmonize the common elements of emerging programs. Some participants stressed the need for producer countries to have time to implement management, conservation and sustainable development of their forests and questioned the imposition of certification requirements without taking into account the agreed ITTO time-frame, the year 2000.

Many participants stressed the need for certification programs to be transparent, independent,

responsible and non-discriminatory and the need to develop, where appropriate, common standards based on internationally agreed criteria that are equitable for all types of forests, but flexible enough to accommodate local forest conditions. Some participants also stressed the need for certification programs that were capable of being audited. While it was noted that criteria and indicators being developed at the national level could contribute to voluntary certification programs, some participants stressed that the scale of national level indicators would need to be extended down to the management unit level in order for them to be applicable to certification programs.

While it was generally agreed that the management, conservation and sustainable development of all types of forests should reflect a full internalization of costs into market mechanisms, it was recognized that there was lack of practical experience with using economic instruments to achieve this goal and a need for practical analytical work to be undertaken by international bodies in this area. The same approach should apply to all production sectors.

Some participants expressed support for trade liberalization, i.e., reduction of tariff and non-tariff barriers to export trade, as the best means of providing the resources to implement sustainable forest management. Some participants also expressed concern that trade restrictions on forest products trade have increased since UNCED.

In discussing trade and environment issues, some participants referred to the need to focus national and international efforts on implementing Agenda 21, Chapter 11 and the Forest Principles and stressed that if countries concentrated on implementing UNCED outcomes this would represent the best way of achieving the management, conservation and sustainable development of all types of forests. Other participants expressed a willingness to move beyond UNCED outcomes.

There was a general recognition of the need to invest in the implementation of the management, conservation and sustainable development of all types of forests. Some participants stressed the need to reinvest some of the proceeds from forest product sales, while others stressed that the source of investment funds was a domestic policy decision. Some participants also stressed the importance of providing technological and financial assistance to developing countries to develop their capacity to formulate and implement policies and programs that further the management, conservation and sustainable development of all types of forests.

It was noted by some participants that many governments are developing codes of conduct for enterprises involved in the management, harvest and trade of forest products as a means of promoting the management, conservation and sustainable development of all types of forests. It was also pointed out that international, voluntary, industry-based codes of conduct were the types of codes most likely to succeed.

Several participants mentioned the leading role that the GATT/WTO plays in determining the compatibility of trade measures based on forestry management practices and/or forest products

production processes with GATT/WTO rules. Other participants recognized the role of GATT/WTO, UNCTAD, UNEP, CSD, ITTO and OECD in examining trade issues relevant to the sustainable management of forests in accordance with their respective mandates and competencies. A number of participants affirmed the primary role played by the GATT/WTO Committee on Trade and Environment in working to reconcile trade rules with trade restrictions having environmental objectives. In this regard, some participants expressed their concern that trade restrictions could jeopardize the priority objectives of the management, conservation and sustainable development of all types of forests.

Some participants noted the growing problem of illegal trade in forest products, plant and animal species and genetic resources found in forests, and raised the need for international cooperation to combat this trade. Some participants stressed that national governments should coordinate the actions aimed at combatting this illegal trade.

Options

1. An appropriate body or bodies within the UN system or other multilateral organizations, with the participation of other stakeholders, could examine trade and other measures that affect countries' abilities to attain the management, conservation and sustainable development of all types of forests.

2. The incorporation of the full costs of the management, conservation and sustainable development of all types of forests into market mechanisms and prices may facilitate making trade and environmental policies mutually reinforcing and thus support more effectively the management, conservation and sustainable development of all types of forests. Such incorporation of costs has been the subject of research by a range of private, governmental, and international organizations. The CSD could encourage additional practical research in this area by an appropriate body or bodies within the UN system or other multilateral organizations.

3. An appropriate body or bodies within the UN system or other multilateral organizations could undertake the examination of policies related to subsidies, taxes, tariffs, and related mechanisms in the forest and forest-related sectors, with a view to avoiding discrimination and in order to help ensure that countries' abilities to attain the management, conservation and sustainable development of all types of forests is not impaired.

4. An appropriate international body could examine, with the participation of governments, NGOs and the private forestry industry sector, issues related to the potential harmonization and the use of certification programs as means of promoting the management, conservation and sustainable development of all types of forests. In this context, the timing, cost-effectiveness, market, social, environmental and economic impacts of various certification approaches should also be considered, having due regard to the different circumstances of countries, forest types and management practices.

5. An appropriate body or bodies within the UN system or other multilateral organizations could examine the issue of illegal trade in forest products, plant and animal species and genetic resources, with a view to suggesting means for combatting such trade.

SYNTHESIS D

APPROACHES TO MOBILISING ADDITIONAL FINANCIAL RESOURCES AND ENVIRONMENTALLY SOUND TECHNOLOGIES

Introduction

UNCED recognised that new and additional financial resources and the transfer of environmentally sound technologies are two of the most important means to facilitate the successful implementation of forestry programmes under the relevant chapters in Agenda 21. UNCED further recognised that, in general, this financing will come from a country's own public and private sectors. Access to technology should be improved through supportive measures promoting cooperation, and through effective capacity-building in the developing countries.

Synopsis of the Discussion

a) Financial Resources

The participants recognised that the financial resources should be raised from internal and external sources with strong participation of public and private sectors as well as NGOs. Additional internal sources could be made available through increased forest revenues; greater utilization of forest products such as non-timber forest products and lesser used species[5] of timber; increased processing in value added products; increased investment by the private sector in reforestation activities; and increased commercialization of forest goods and services. Some participants expressed the view that, on the basis of national priorities, the financial benefits derived from mineral and water resources in some forest regions can be a significant contribution to the management, conservation and sustainable development of all types of forests.

On external sources, the participants considered several options, *inter alia*, achievement of the UN target for ODA contributions for those donor countries that have accepted the target; GEF funding for appropriate forestry activities; soft loans from international and regional banks; enhanced value of forest products; use of National Environmental Funds; debt-for-nature swaps; tradeable permits and joint implementation schemes; relocation of forest-based industries to developing countries; and, increased private sector investment in forest related activities.

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[5] As described in the work of the ITTO

b) Technology Transfer

The participants emphasized the importance of strengthening and building capacity to facilitate the successful transfer of technology to developing countries, especially to improve human resource development (HRD) programmes; and strengthen the capacities of local R&D institutions to adapt, modify, and further develop new and indigenous technologies.

It was acknowledged that improved flow of information and better access to available technologies in the public domain and under Intellectual Property Right (IPR) are desirable. In addition to IPR, the sovereign rights of countries over their natural resources and the legal and traditional rights of local communities and indigenous people were recognised. The promotion of technology transfer could be further enhanced through active partnerships between the public and private sectors of developing and developed countries.

Options

a) Financial Resources

1. All countries could develop and implement, as appropriate, national forestry programmes and/or plans that are integrated within the national sustainable development programmes[6] as called for in Agenda 21. These should identify priority areas and financial resources required to achieve the management, conservation and sustainable development of all types of forests. Such programmes should also incorporate strategies for generating necessary financial resources internally and externally.

2. Additional financial resources could be made available through increased ODA contributions for the implementation of Agenda 21.

3. The efficacy, adequacy and better coordination of the existing financial mechanisms could be considered either by the CSD Working Group on Finance or a suitable task force established by the CSD.

4. The CSD may wish to call attention to new and/or innovative sources of funding, such as joint implementation; National Environment Funds; GEF; other sources noted in the synthesis above; and "rent capture", i.e., optimization of public income from commercial forest management, with an appropriate proportion reinvested in the national and local forest institutions, and in management, conservation and sustainable development of all types of forests.

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6 These include NFAP, Master Plan, Sector Strategy, and other national action plans.

b) Transfer of Technology

1. Within the context of national forestry programmes, developing countries could formulate a policy framework which identifies and facilitates priority technologies to be transferred, modified and further developed.

2. Priority should be given to the strengthening of national capacity to manage the inter-sectoral issues and evolving technological needs for achieving forest development.

3. Partnerships between private and public sectors of developed and developing countries should be promoted to facilitate effective technology transfer and development of new technologies. This should also include South-South cooperation to exchange and transfer the technologies on sustainable forestry development.

4. International agencies such as UNEP, ITTO and FAO should be encouraged to work cooperatively to develop databases and disseminate information on technologies for sustainable forestry development.

5. Linkages should be promoted and contacts should be fostered between forestry institutions in developed and developing countries.

6. Ways should be explored in which technology protected by IPR can be made available to developing countries on concessional terms through aid programmes or other means, such as mutually agreed sharing of benefits.

SYNTHESIS E

INSTITUTIONAL LINKAGES

Issue

The fundamental issue is how to improve dialogue and coordination of forestry activities at the national, regional and international levels to facilitate the implementation of the UNCED Forest Principles and forest-related chapters of Agenda 21.

Currently there are many organizations that address forests and forestry worldwide. Often there is little coordination of their work; funding is limited and sometimes uncoordinated; decision-making is fragmented; and there are insufficient linkages between the forest sector and other sectors that impact on forests. Forest issues are, thus, too often dealt with in a piecemeal fashion. There is a need to enhance international cooperation to implement the UNCED Forest Principles, forest-related chapters of Agenda 21 and relevant sections of UN conventions. There also needs to be additional focussing on priorities, and greater coordination of activities, including the appropriate means of implementation.

Options

1. Coordination is best done at the national level, with countries themselves in the lead role. Donors should help with capacity building, including central information networks where appropriate.

2. There needs to be greater use of regional mechanisms. Examples are the Central American Forest Council, the South Pacific Forum, the International Boreal Forest Research Association, the European Forest Institute, and Pan-European and other regional efforts to develop criteria and indicators for the management, conservation and sustainable development of all types of forests, such as the Helsinki and Montreal processes. Greater efforts should be made to reinvigorate the FAO's regional forestry commissions.

3. At the international level, emphasis should be on well coordinated, non-duplicative, and cost effective use of existing organizations.

4. Greater coordination of the work of existing multilateral and bilateral organizations is needed. The CSD, possibly with assistance of UNDP, FAO, UNEP and with input from countries, could consider appropriate arrangements and means to foster greater dialogue and coordination.

5. The CSD could consider calling for an independent assessment of the roles of multilateral institutions most concerned with forests to clarify their roles, identify gaps, minimize duplication and identify areas requiring improvement.

6. One approach to improving the focus of forest activities internationally could be, *inter alia*, to give special attention to the seven issues addressed by this IWGF, and to foster coordinated action on them in preparation for the 1997 CSD review.

7. The biological diversity, climate change and combatting desertification conventions, while offering significant opportunities to discuss linkages to the forest sector, may not be comprehensive enough to address all the forest issues.

8. The FAO Ministerial meeting on forestry in March 1995 and the CSD intersessional in February 1995 will provide opportunities to further discuss forests and forest related issues, respectively, in preparation for the third session of the CSD in April 1995. Consideration could be given to encouraging the FAO to convene meetings of forest ministers on a regular basis.

9. In addition to coordination of forestry activities at the national, regional and international levels, there is need to study the linkages and coordination with other sectors, such as transportation, mining, agriculture, rural development.

SYNTHESIS F

PARTICIPATION AND TRANSPARENCY IN FOREST MANAGEMENT

Background:

The importance of popular participation and informed decision-making by all stakeholders was made clear in the UNCED Forest Principles:

> "Forest resources and forest lands should be sustainably managed to meet the social, economic, cultural, and spiritual needs of present and future generations" (2b), and "Governments should promote and provide opportunities for the participation of interested parties, including local communities and indigenous people, industries, labor, non-governmental organizations and individuals, forest dwellers and women, in the development, implementation and planning of national forest policies" (2d).

This sentiment was supported in the Brundtland Report (World Commission on Environment and Development, 1987) which noted:

> "The pursuit of sustainable development requires a political system that secures effective participation in decision-making... This is best secured by decentralizing the management of resources upon which local communities depend, and giving these communities an effective say over the use of these resources. It will also require promoting citizen's initiatives, empowering peoples' organizations, and strengthening local democracy."

The challenge is to translate this mandate to encourage participation into effective policies and practices. IWGF participants agreed that no single formula or prescription will work in all cases, but rather, what is needed are flexible approaches which respect broad principles of participation but which are adapted to particular local, national and international circumstances. Good participatory processes cannot be designed by consultants and experts alone, but they need to evolve organically through experimentation utilizing a diversity of approaches.

There was also a recognition that all stakeholders are not equal and may need to participate in different ways. Some, such as indigenous people, local communities, and women, are often at a disadvantage with respect to information and resources needed to participate effectively. With regard to the nature of participation, it was pointed out that participation must be effective - that there must be a real opportunity to influence the management of forests. Real participation, therefore, is qualitatively different from mere consultation. The United Nations Research Institute on Social Development proposed the following definition of participation:

> "Popular participation is defined as the organized efforts to increase control

over resources and regulative institutions in given social situations on the part of groups and movements of those hitherto excluded from such control."

The rationale for NGO participation is to (a) tap into an additional source of ideas and solutions to problems, (b) generate a wider, more effective political consensus, and (c) identify human resources to implement proposals.

Participation is improved by making relevant information available to all stakeholders and in a format which is comprehensible to a non-technical or not formally educated audience. Participation at a national and local level can be made effective by exploring land tenure arrangements and forest harvesting rights which devolve authority to local people. In some cases, support will be needed to improve the capacities of certain stakeholders to influence forest sector decisions and to carry out management activities. Governments, donor agencies, and multilateral agencies may need to coordinate stakeholder participation exercises in order to avoid duplication of effort and confusion.

At a regional level, the Central American Convention on Forests should be considered as one model for promoting participation and transparency in the forest sector.

At the international level, governments can broaden participation by inviting NGOs to participate on official delegations. In order for NGO involvement to be effective and constructive, it is important to determine the most appropriate and interested NGOs. Governments may help by being explicit about what they want out of NGO participation and NGOs can help by engaging in self-selection processes. The relevant chapters of Agenda 21 regarding "Major Groups" should serve as a starting point for identifying the range of non-governmental concerns to be represented. The IWGF process itself should be considered to be one of the important models for international level participation of NGOs. The structures and process used by IUCN-the World Conservation Union provide further examples of effective approaches to government/NGO collaboration.

Options

a) National, regional and local level participation

The CSD could:

1. encourage the meaningful involvement of the full range of stakeholders including women and indigenous peoples in forest management decisions. National capacities to deal with participation need to be strengthened. In many countries the staffs of national forest services may benefit from initiatives to enhance their skills in participatory forest management techniques;

2. provide opportunities for comparing experiences in participation. A study could be

commissioned to look at lessons learned. This could include case studies on success stories and an analysis of obstacles to effective participation;

3. expand the guidelines for country reports to the CSD so as to include approaches to participation and progress made in this area;

4. call upon countries to include the full range of stakeholders in the development of national criteria and indicators for the management, conservation, and sustainable development of all types of forests and in the elaboration of national forest sector planning frameworks;

5. commission studies and encourage processes within the framework of the Biological Diversity Convention which are designed to provide appropriate returns to local communities, including indigenous people and forest dwellers, for the commercial use of their knowledge;

6. encourage development assistance agencies to build stakeholder participation into their programs.

b) International level participation[7]

The CSD could:

1. foster the involvement of NGO groups in international meetings by (a) encouraging governments to assist and facilitate NGO participation in international meetings, as appropriate, including the possibility of establishing dedicated funds for this purpose, and the possibility of including NGOs in official government delegations, and (b) developing agreed principles and guidelines for NGO participation in consultation with appropriate NGO representatives, bearing in mind that different circumstances may require different kinds of NGO participation.

2. call on all multi-lateral institutions and initiatives to make relevant documents broadly available, including in electronic form;

3. call on all donor institutions to agree to minimum standards for public participation and transparency in forest management discussions, keeping in mind the need to be flexible and take into account different circumstances.

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[7] Bearing in mind that the ECOSOC Committee on NGOs has convened a Working Group to examine NGO participation in a broader range of UN activities, as well as the issue of accreditation of NGOs, the discussion at the IWGF reflected on the experience with the more innovative approach to NGO participation thus far followed at both UNCED and CSD. These options are seen as useful to the CSD and not duplicative of the existing ECOSOC Working Group.

SYNTHESIS G

COMPREHENSIVE CROSS-SECTORAL INTEGRATION, INCLUDING LAND USE AND PLANNING AND MANAGEMENT AND THE INFLUENCE OF POLICIES EXTERNAL TO THE TRADITIONAL FOREST SECTOR

Issue

Policy measures and activities in other sectors of the economy such as agriculture, energy, mining and macro-economic policies may affect the ability of forests to provide their economic, social, spiritual, cultural, ecological and environmental roles. This may impede the implementation of forestry policies set within the sector. Moreover, it is recognized that the causes of forest degradation and destruction are, for the most part, external to the forest sector. To ensure the effectiveness of forest management, conservation and sustainable development, it is essential to take into account the importance of cross-sectoral linkages and of their integration in forest development strategies. This requires the coordination and harmonization of policies and strategies between the forest sector and related sectors.

Approaches

The discussions underscored the importance of the issue and identified a number of possible actions at both the national and international levels.

a) At the national level

1. The development of national forestry action programs and/or plans for the management, conservation and sustainable development of all types of forests should take into account and integrate linkages between the forest sector and other sectors within a coherent policy framework. The development and implementation of such programs and/or plans should facilitate coordination and co-operation among all stakeholders involved.

2. Efforts should be made to integrate forests as a stable element and a valid option in land-use; this requires the implementation of policies for land allocation and for assessment, clarification and recognition of land ownership and tenure rights, including the traditional relationships between indigenous people and local communities with the forest in which they live.

3. Governments, the private sector and the public should be encouraged to recognize forests as a resource to be conserved, developed and enhanced. Such recognition requires a realistic and comprehensive assessment of their overall contribution, in the form of the tangible and intangible resources, goods and services, to sustainable development at the local and national levels.

4. Reliable methodologies and appropriate mechanisms should be developed to:

   - assess the contribution of forests, particularly the ecological and environmental, social and cultural aspects of their contribution;

   - take into account, in an appropriate manner, the services provided by forest resources, such as the protection of farmland, conserving and improving hydrological regimes, infrastructure, and the ecological and environmental services; and

   - take into account, in an appropriate manner, all values of forests and the effects on the forest sector of developments in other sectors, such as agriculture, energy, mining and urbanization.

5. Interventions that discourage the management, conservation and sustainable development of all types of forests or result in cross-sectoral conflicts should be removed or reformed. Such interventions may include tax policies, concession policies, subsidy programs, etc.

6. In addition to the productive functions of the forest sector, the degradation and destruction of forest resources should be fully taken into account in national accounts.

7. The linkages between social programs, population policies and the management, conservation and sustainable development of all types of forests should also be fully taken into account.

8. The analysis and monitoring of the impacts of exogenous factors on forest development and on patterns of forest product consumption are essential to the assessment of their effects on the management, conservation and sustainable development of all types of forests.

9. The capacity of the forestry sector institutions to take into account the linkages with other sectors should be strengthened. Multidisciplinary teams, composed of economists, sociologists, political analysts, etc. should be established to enable them to assess the impacts of the policies of other sectors and to participate, on a regular basis, in multisectoral analyses of environmental impacts. Techniques for rapid analysis and application capacities should be developed. The policy research and development capacities of forest institutions should also be strengthened.

b) At the international level

1. International co-operation should play a positive role in the recognition of the external benefits provided by forests in such fields as the environment, trade, etc.

2. International co-operation should play a more active role in the prevention of natural or man-made disasters, such as acid rain, forest fires, floods and landslides.

3. International cooperation should examine the relationship between trade in forest products and products from the agricultural and livestock sector, the competing land use demand for each and the possible effects on the management, conservation and sustainable development of all types of forests.

4. International organizations, NGOs and multinationals active in the forest sector should facilitate a better understanding of forestry issues and their linkages with other sectors of the economy and of the ecological, environmental, social and cultural benefits provided by forest resources. These organizations should also contribute to developing an understanding and systematic observations of changes in patterns of consumption of forest products, their possible replacement by alternative products and the effects on the management, conservation and sustainable development of all types of forests.

5. The FAO meeting of Forestry Ministers in March 1995 in Rome will afford an opportunity to send a strong political message regarding the decisive influence of policies of other sectors on the capacity of the forest sector to conserve forests and sustainably maintain their contribution to development, including in other sectors.

Options

1. The importance and complexity of cross-sectoral linkages between the forest sector and such fields as agriculture, trade, energy, land use, population, etc. as well as with unsustainable patterns of production and consumption, etc. at the national and international levels and between the forest sector and international trade for the management, conservation and sustainable development of all types of forests should be brought to the attention of the Intersessional Working Group of the CSD in February 1995. With reference to population and development, the relevance of the action program adopted at the Cairo Conference on Population and Development is noteworthy.

2. The CSD could ask relevant bodies to undertake research and development of methodologies for comprehensive assessment of the costs and benefits of the tangible and intangible resources, goods and services provided by the forest, especially its ecological, environmental, social and cultural benefits, and on how to incorporate resource depletion and the effects on forests of activities in other sectors into national accounting systems.

3. The CSD could ask relevant bodies to increase research into the impact of climate

change on forests caused by developments in other sectors of the economy. Such research could result from increased co-operation among the IPCC, FAO and UNEP, for instance.

4. The CSD could encourage regional and subregional cooperation among nations in the implementation of cross-sectoral co-operative solutions regarding the management, conservation and sustainable development of all types of forests under conditions specific to their situations.

5. The CSD could forcefully reiterate the need to strengthen national capacities to develop policies and implement national forestry action programs and/or plans for the management, conservation and sustainable development of all types of forests. Such programs and/or plans should integrate cross-sectoral co-operation and participation of all interested groups, particularly communities which depend on the forest, with a view to achieving sustainable development. International co-operation should be invited to support such an effort through increased financial and technology transfers and supportive liberalization of trade.

6. The CSD could examine the factors involved in promoting new public and private investments in sustainable forestry and forest industries which complement investments in other sectors.

7. The CSD could ask relevant bodies to intensify research on policy and social aspects related to the interactions between forestry and other sectors in order to strengthen cross-sectoral approaches.

8. The CSD could encourage the review of positive and negative impacts on the forest sector of structural adjustment programs and of the procedures, policies and practices of the multilateral development banks.

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